

COUNTY OF SANTA CRUZ
PROBATION DEPARTMENT DESCRIPTION
ADULT SERVICES
INTERVIEWS JULY 20–21, 2000

Interview Process

On-site interviews with seven stakeholder groups were conducted in Felton and Santa Cruz on July 20 and 21, 2000. The groups were divided into juvenile or adult services, except for the chief probation officer and senior staff and the county administrator's office staff, all of whom participated in both juvenile and adult services discussions. The seven stakeholder groups were:

1. Judges and court administrators
2. Chief probation officer and senior staff
3. Line supervisors and probation officers
4. Prosecutors and defense attorneys
5. County administrators
6. Public community agencies
7. Private community agencies

A total of 45 people were interviewed. This number included 5 judges, 6 senior probation managers, 17 first-line supervisors and line staff, 11 public and private agency representatives, 4 prosecutors and defense attorneys, and 2 staff from the county administrator's office. The same questions were addressed by several of the stakeholder groups. Separate reports addressing juvenile and adult services have been prepared for Santa Cruz County. Although many of the answers in both reports are the same or similar, the questions were addressed separately by both juvenile and adult services stakeholders. In some instances, contradictory responses were given. These areas of contradiction are reported under the questions to which they pertain.

Prior to the on-site interviews, several actions occurred. Eighteen categories related to juvenile and adult services were developed. Each category includes several questions specific to that topic. These questions were discussed, modified, and clarified at a meeting with representatives from the six counties selected to be part of this process. To accommodate the time frames of this project, participating counties were asked to address the questions in writing and to provide as much information as possible prior to the actual interviews. *This report combines all responses and does not specifically identify the part of the justice system reporting.* The 18 categories are:

- I. Demographic Information
- II. Organizational Structure
- III. Department Mission and Objectives
- IV. Policies and Procedures
- V. Monitoring and Evaluation Process
- VI. Management Information Systems
- VII. Funding Sources
- VIII. Probation Services
- IX. Specialized Court Services
- X. Probation and Private Service Provider Partnerships
- XI. Staff Development and Training
- XII. Communication Systems
- XIII. Program or Service Gaps
- XIV. Partnership with Judiciary
- XV. Partnership with Prosecutors and Defense Attorneys
- XVI. Partnership with Other Collaborative County Departments
- XVII. Juvenile Probation Partnership with Education System
- XVIII. Strengths of Probation Department

SANTA CRUZ COUNTY

ADULT SERVICES DESCRIPTION

A total of 22 stakeholders addressed the questions related to adult services. The participant breakdown was as follows:

- Three judges and court administrators
- Six senior managers
- Eight supervisors and probation officers
- One combination of private and public community agencies
- Two prosecutors and defense attorneys
- Two representatives of the county administrator's office

I. Demographic Information

A. Description of the county

Santa Cruz is geographically the second smallest county in California, covering a total of 441 square miles. It is located on the central coast of California. About 417 square miles are in unincorporated areas, with 54 percent of the county's population living in those areas. Santa Cruz County represents about 1 percent of California's population. The southern area of the county is almost exclusively Hispanic, and the county as a whole has a large Hispanic population. Fewer than 5 percent of the total population is African American or Asian.

The economy of Santa Cruz County is based primarily on agriculture and tourism. Technology is the largest growing sector. The county is described as conservative, with a slow-growth philosophy and an emphasis on environmental concerns. Housing is a major problem. The higher salaries that are offered in surrounding counties have resulted in a high rate of local government employee turnover.

B. Size of probation department

As of July 2000, the probation department had 132 budgeted positions. This includes 12 administrative positions, 41.5 adult positions, 47.5 juvenile positions, and 31 juvenile hall positions. The staff breakdown for adult probation services follows:

- One division director
- One-half assistant division director
- Seven deputy probation officer IIIs
- Twenty-four deputy probation officer IIs
- One probation aide
- Eight clerical support staff

C. Offender population, including types of offenses

The annual workload ending June 30, 2000, included the following:

Supervised Caseloads

- 2,800 total caseload
- 2,100 clients, general and banked caseloads
- 700 clients, domestic violence
- 1,400 clients, banked (limited service)
- 25 clients, work-furlough program

Investigation Caseloads

- 300 presentence investigation reports
- 289 violation reports

Pretrial Services

- 2,300 pretrial reports

II. Organizational Structure

A. History of structure

Separation of adult and juvenile services and juvenile hall enables focus on each function

B. Theory behind organizational structure

- Lost some management positions at a time of diminishing resources
- Organizational structure remains in transition

C. Reporting lines of authority

- Four layers of management:
 - Chief
 - Assistant chief (not budgeted)
 - Manager
 - Supervisor (not budgeted)
- Lines of authority consistent in juvenile and adult divisions
- Four layers of management are working effectively

D. Discuss organizational structure strengths

- Appears to be the appropriate levels of management staff

E. Suggested organizational changes

- Need to formalize supervisor position
- Need to formalize assistant chief position
- Need to include probation aid positions in safety retirement plan

III. Department Mission and Objectives

A. Written department mission statement

- There is a department mission statement that was recently updated
- Mission statement was part of a five-year plan developed in 1998

B. Written adult services mission statements

- Juvenile services, juvenile hall, and adult services use the same department mission statement

C. Written annual objectives for adult services

- There are no specific annual objectives
- Some specialized programs have annual objectives
- There are written objectives for grant programs

D. Discuss staff involvement in the mission statement process

- A cross-section of staff, including support staff, was involved in developing the five-year plan and mission statement

D. Discuss how objectives are implemented within the department

- There are no formalized annual objectives
- Objectives are developed for some specialized programs

IV. Policies and Procedures

A. Does the department have a policies and procedures manual?

How often is it revised?

- There is a comprehensive policies and procedures manual.
- The manual was completely revised in 2000
- The entire manual will be computerized by the end of 2000

B. How are policies and procedures implemented?

- Each employee has a hard-copy manual

C. Describe the process used to prepare policies

- A departmental task force approach is used
- All staff have an opportunity to review policies
- Manual is written by chief and assistant chief probation officers

D. Describe staff input in policy development

- Supervisors share with line staff
- Suggestions come from interested line staff

E. Describe the process used to monitor policies and procedures

- Accomplished through a review of computerized cases

V. Monitoring and Evaluation Process

A. Describe the evaluation procedures for programs and services

- Not all programs are evaluated
- All grant programs are evaluated

B. Are evaluations designed on performance-based measures?

- Evaluations are not designed on performance-based measures
- Adult drug court is evaluated
- Domestic violence court is evaluated
- There is no designated evaluation staff
- Department is considering contracting for evaluation services

C. Describe how monitoring and evaluation information is reported to the CPO

- No process is in place

D. Describe how this information is integrated into programs and services

- Changes are brought to the management team
- Staff is comfortable discussing these issues with every level of the organization
- Line staff are involved in evaluating programs

E. Describe how information from evaluations is integrated into management decisions

- Management embraces the importance of evaluation data

VI. Management Information Systems

A. Describe the current information system

- Adult and juvenile systems are part of a county mainframe system
- Many consider the system a dinosaur
- Some dumb terminals are being used
- The department is in the process of downloading the mainframe for more flexibility
- Currently cannot access certain data and must request a program from the county
- All caseload entries are completed by computers
- Expect to have all department employees with personal computers by the end of 2000
- Adult probation staff captured good information

B. Assess the efficiency of the information system

- Department is moving in the right direction
- Rated high for data in system
- There is good case management information for line staff
- The system cannot be used by management for data analysis
- Cannot get information from other counties
- The system is not integrated and requires multiple entries of information

C. Describe how information needs are determined

- Meetings with senior staff and managers
- Others give input through supervisors
- Information needs are prioritized

- Department committees meet to discuss needs
- A community justice task force addresses information needs
- There is some county funding for technology

D. Does a users committee exist and what is the composition?

- No committee addressing adult issues

E. Describe how the MIS interacts with other parts of the system

- Shares the prosecutors information system
- Shares information at sites in police departments

F. Discuss additional information needs

- Ability to collect data from the mainframe
- Court officers need computerized capabilities to increase efficiency and speed up the paper-flow system
- Remote sites need information access
- Videoconferencing capabilities
- Access information from statewide agencies

G. What are the computer equipment needs?

- Personal computers for all staff
- Laptops for field visits and in court

VII. Funding Sources

A. What is the total budget (juvenile and adult breakdown)?

- The total budget for FY 2001 for the Santa Cruz Probation Department is \$11,093,666:
 - Adult services budget is \$2,703,558 (24.7%)
 - Juvenile services budget is \$8,390,160 (75.63%):
 - Of that total, juvenile hall costs are \$1,996,834 (24%)

B. What are the major line items?

- None provided

C. What are your various funding sources?

▪ General fund	(38.25%)	\$4,243,015
▪ TANF	(9.29%)	\$1,030,059
▪ Title IV-E	(7.37%)	\$817,572
▪ Prop. 172	(21.18%)	\$2,349,560
▪ Grants	(15.76%)	\$1,747,846
▪ Fines/fees	(4.28%)	\$474,000
▪ Other revenue	(3.88%)	\$430,666

D. Where are your greatest funding item deficits?

- Low salaries, which result in high staff turnover to other counties
- Need for overtime compensation
- Physical plant needs to address overcrowded office space
- Vehicles
- Supervisors who are not required to carry caseloads
- Need for court services and detention center capabilities in Watsonville
- Additional adult probation officers
- Renovation of juvenile hall
- More revenue in the ranch referral category
- Mental health services
- Drug treatment services
- Pretrial supervision services
- Pretrial services staff
- Technology
- Specialized services for girls
- Gender-specific programs

E. Level of CPO control over budget

- Has control over department budget
- Participates in county board committees

F. Large budget category comparisons for the past five years

- FY 1997: \$6,171,449
- FY 1998: \$7,011,891
- FY 1999: \$8,353,028
- FY 2000: \$10,378,399
- FY 2001: \$11,093,718

There has been a 45 percent increase in the total budget revenue since fiscal year 1997. It is also interesting that the percentage of the budget coming from the general fund in fiscal year 2001 is 9 percent less than that budgeted in fiscal year 1997.

VIII. Probation Services

A. Discuss the automated and validated needs/risk tools being used

- Adult uses a modified Wisconsin Needs/Risk but has eliminated the needs portion because of lack of staff to administer it
- Domestic violence uses an assessment tool

B. Describe any specialized assessment services you provide

- No specialized assessment tools are being used

C. What are the current probation supervision workload standards?

- Workload standards exist for intensive caseloads
- There are currently no other workload standards
- There is no system of equal distribution of workloads among probation officers

- Specialized caseloads have maximum clients per officer

D. Describe how these workload standards are determined

- No standards for adult workload
- Approximately 90% of the adult caseload has no face-to-face contacts
- Four hundred (14%) of the total adult caseload of 2,800 is seen regularly

E. Describe the case plan process (supervision plan)

- Much of the supervision plan is the result of oral dispositions
- Clients are given conditions of probation
- System prefers to operate on an informal basis
- Plans are supposed to be updated every six months, but this policy is not being implemented
- Specialized caseloads have detailed assessments
- Intake assessments need to be revisited
- More emphasis needs to be placed on development of assessment instruments

F. Describe the continuum of services offered to probationers from least to most restrictive sanctions

- There is intensive supervision for mentally ill offenders, sex offenders, domestic violence offenders, and high-risk offenders living within the two largest incorporated area
- There is no other continuum of services

G. Are there eligibility criteria for entering and exiting each program and service? Please describe.

- Sex offenders have criteria
- Domestic violence offenders have criteria
- Grants have specific criteria
- Mentally ill offenders have criteria
- Subjective determination by probation officers for all others

H. What sanctions along the continuum are *not* available?

- Direct face-to-face supervision is not available on general caseloads
- Victim services
- Affordable drug treatment outpatient programs
- Affordable sex offender programs
- Dual-diagnosis program
- Alcohol treatment programs
- Restitution collection
- Services for misdemeanor offenders
- Adult reporting centers
- Additional gang unit programs

I. Describe the role the judiciary plays in the intermediate sanctions system

- Judges play a very limited role
- Judicial involvement in the drug court
- Judicial involvement in domestic violence court

J. What role does the judiciary play in determining the types of supervision sanctions needed?

- Limited involvement
- More judicial leadership would be welcome
- Judges focus on courtroom management issues

K. Are there any mandated sanctions?

- None reported

IX. Specialized Court Services

A. List the specialized programs in your county

- Postconviction drug court

B. Describe the relationship between these programs and probation

- Good relationship with drug court team

X. Probation and Private Service Provider Partnerships

A. Describe the services private vendors provide to the probation department

- Domestic violence services
- Anger management
- Clean and sober services
- Sex offender services
- Mental health services
- Private therapists

B. How does probation staff view these services or programs?

- Limited time to monitor services
- Services range from very good to not good

XI. Staff Development and Training

A. Describe the specific training subjects offered to staff

- Each new probation officer receives 240 hours of training from the state
- Each probation officer is required to have 40 hours of training annually
- Each institution worker must take 24 hours of annual training
- Each new supervisor and manager takes 80 hours of required training
- Each employee receives an in-house orientation program
- There is one full-time training officer who coordinates the department's training efforts
- Training is offered using internal staff as instructors

B. List the training courses that are mandatory

- Several courses are mandatory but not on an annual basis
- CPR
- Cultural diversity
- Sexual harassment
- Strength-based assessments
- Officer safety
- Mandated programs change from year to year

C. Describe how staff training needs are determined

- Supervisors determine officer needs
- Staff makes specific training requests
- Some training is mandated outside of the department
- Supervisors discuss training needs jointly with officers

D. Describe the process used to get staff input for training needs

- Exchange of ideas from all levels of department

E. Describe the types of cross-training taking place

- Some within the department
- Staff recognizes a need for cross-training and welcomes opportunities

F. Describe the management training being offered

- Eighty-hour course after promotion to supervisor or manager
- There is limited training for supervisors
- Leadership training is provided for anyone who wishes to attend
- It would be helpful to offer management training prior to promotions

XII. Communication Systems

A. Describe the department's staff meeting schedule

- Meeting schedules are informal
- Unit meetings vary but are usually once a month
- Management meetings held every two to three months
- Division meetings held every two to three months
- Consensus that communication in the department is good
- Outlying offices meet less often
- Adult and juvenile staff are unaware of what each division is doing

B. Describe the process used to disseminate day-to-day information to line staff

- E-mail
- Web site
- Written memorandum
- Management is very accessible
- Open and informal channels of communication

XIII. Program or Service Gaps

A. Discuss the resources, services, or programs you need to provide a more effective probation service

- Low salaries result in high staff turnover to other counties
- Need for overtime compensation
- Physical plant needs to address overcrowded office space
- Vehicles
- Supervisors who are not required to carry caseloads
- Need for court services and detention center capabilities in Watsonville
- Additional adult probation officers
- Renovation of juvenile hall
- More revenue in the ranch referral category
- Mental health services
- Drug treatment services

- Pretrial supervision services
- Pretrial services staff
- Technology
- Specialized services for girls
- Gender-specific programs

B. Are any programs mandated?

- Presentence investigations are required for state prison cases

XIV. Partnership with Judiciary

A. What services does probation provide for the judiciary?

- Court officers
- Presentence investigations
- Drug court staffing
- Domestic violence court
- Supervision
- Probation revocation hearings
- Victim statements
- Referral to interstate compact
- Postdisposition plans
- Work-furlough program
- Volunteer service hours
- Electronic monitoring

B. Describe the relationship between the judiciary and the probation department

- Court unit people are excellent and will get the information judges need
- Probation officers are very professional
- Probation officers are very task oriented
- Probation administrators not clear on sentencing procedures

- Probation not current on the law
- Judges have no control over probation services
- How can judges be happy with such limited services?
- Judges not willing to be proactive
- Judges focus on calendar
- Judges need to be more humanitarian
- Probation officers independent of the judiciary
- Depends on the judge

C. Describe the process used by probation and the judiciary to ensure that the judiciary has the broadest possible sentencing alternatives

- No real system

D. What changes or enhancements are needed to improve this partnership?

- More meetings with judiciary, prosecutor, and defense attorney
- Clearer idea of judicial expectations from probation
- Increased resources
- Goals on an annual basis
- Probation officers need more training
- Develop a continuum of services
- Bring judges into the planning process

XV. Partnership with Prosecutors and Defense Attorneys

A. What are the points of interaction among probation, prosecutors, and public defenders?

- Prosecutor refers police to probation
- Prosecutors assist in the interpretation of the law
- Prosecutor gives information to probation on presentence reports
- Prosecutor and probation interact at disposition hearings
- Prosecutor, defense, and probation sit on multiagency task force

- Defense attorney and probation share police reports
- Defense attorney and probation work on calendar call
- Victim witness issues
- Defense and prosecutor interact regularly with court officers

B. Describe the relationship among prosecutors, defense attorneys, and the probation department

- Meet regularly at administrator level
- Some chaos in the prosecutor's office
- Good consistent relationship with defense attorney
- Probation officer takes a neutral position
- Relationship with prosecutor in specialized courts is good
- Prosecutor understands the probation department shortages
- Generally have a good relationship

C. Discuss the exchange of information among probation, prosecutors, and defense attorneys

- Well-developed informal information exchange
- Prosecutor shares information from police reports for presentence investigations
- Defense attorney sometimes gives information to probation before probation has have made contact with client
- Automated information can be accessed by prosecutor and not the defense attorney

D. What changes or enhancements are needed to improve the partnership?

- Good leadership from prosecutors office
- More probation officer staff
- Offenders would respond to good supervision
- Joint ongoing training with all three parties
- More services to clients

XVI. Partnership with Other Collaborative County Departments

A. What are the points of interaction with these departments?

- Relationship with mental health services is excellent
- Human resources agency has a long history of program sharing
- Only mental health staff attended the interviews

B. Describe the relationship between probation and these departments

- The relationship with mental health is good

C. Discuss the exchange of information between probation and these departments

- Excellent with mental health
- Needs improvement with other departments

D. What changes or enhancements are needed to improve this collaborative relationship?

- Joint planning meetings
- Joint preparation of grants
- Spend more time problem solving together

XVII. Strengths of Probation Department

A. List and discuss the elements of the probation department services that you believe are outstanding or exceptional

- Strong vision and mission
- Outstanding collaboration with community partners
- Department is open to community suggestions and involvement
- Detention reforms and alternatives are outstanding
- Department work on disproportionate minority confinement

- Innovative
- Strong department leadership
- Collaboration within the department is outstanding
- Proactive department
- Good fiscal management
- High-quality staff
- Almost half of staff is bilingual
- Department exhibits excellent cultural awareness
- Outstanding juvenile continuum of services
- Probation officers located in police departments
- Very professional
- Trustworthy
- Receptive to alternatives to incarceration